

RECORDATION FORM COVER SHEET

Set No.: FIS920030102US1

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Patent and Trademark Office

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To the Honorable Director of the United States Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Xiangdong Chen
Geng Wang
Yujun Li
Qiqing C. Ouyang

2. Name and address of receiving party(ies):

Name: International Business Machines Corporation

Internal Address: _____

Street Address: New Orchard Road

City: Armonk State: NY ZIP: 10504

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other _____

Execution Date: 07-15-03, 07-15-03, 07-15-03, 07-16-03

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is: 07-15-03, 07-15-03, 07-15-03, 07-16-03

A. Patent Application No.(s) EU 702258635US B. Patent No.(s)

EXPRESS MAIL NO.: EU 702258635US
HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING
DEPOSITED WITH THE U.S. POSTAL SERVICE AS EXPRESS
MAIL IN AN ENVELOPE ADDRESSED TO: COMMISSIONER OF
PATENTS AND TRADEMARKS, WASHINGTON, D.C. 20231
APPLICANT AND/OR ATTORNEY REQUESTS THE DATE OF
DEPOSIT AS THE FILE DATE.

DATE OF DEPOSIT: 7/18/03

BY SIGNATURE & DATE: Karen Long - 7/18/03

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: H. Daniel Schnurmann

Internal Address: _____



32074

PATENT TRADEMARK OFFICE

Street Address: _____

City: _____ State: _____ ZIP: _____

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☒ Authorized to be charged to deposit account

8. Deposit account number:

09-0458 FI 271

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

H. Daniel Schnurmann, Reg. No. 35,791

Name of Person Signing

H. Daniel Schnurmann
Signature

July 18, 2003
Date

Total number of pages including cover sheet, attachments, and document:

3

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recordation Services

Director of the United States Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22304-1450

PATENT ASSIGNMENT FORM

For and in consideration of good and valuable consideration, the receipt and sufficiency thereof being hereby acknowledged, each undersigned inventor acknowledges his/her prior and ongoing obligation to sell, assign, and transfer, and agrees to sell, assign, and transfer the entire world wide right, title and interest for the United States and all foreign countries, in and to any and all inventions and improvements conceived during and within the scope of his/her employment, and further acknowledges that he/she has sold, assigned, and transferred, and hereby sells, assigns, and transfers, unto:

**INTERNATIONAL BUSINESS MACHINES CORPORATION ("IBM"),
Armonk, New York 10504**

a corporation of New York, and IBM desires to acquire all right, title, and interest, in and to the certain inventions (identified below), applications, and any United States and foreign patents to be obtained therefor relating to:

Title of Invention for **IMPROVED VERTICAL MOSFET WITH DUAL WORK FUNCTION MATERIALS**
United States Patent

as set forth in United States Patent Application executed by each undersigned inventor on the date indicated by each inventor signature below, and further identified by **Attorney Docket Number FIS920030102US1**; (select one) ☒ executed concurrently herewith or ☐ Serial No. _____ Filed on _____

for and to said United States Patent Application including any and all divisions or continuations thereof and in and to any and all Letters Patent of the United States and foreign patents and all rights of priority to be obtained therefor which may issue on any such application or for said invention therein disclosed, including any and all reissues or extensions thereof, to be held and enjoyed by, its successors, legal representatives and assigns to the full end of the term or terms for which any and all such Letters Patent may be granted as fully and entirely as would have been held and enjoyed by the undersigned had this Assignment not been made;

Each undersigned inventor hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all such Letters Patent to IBM, its successors and assigns, in accordance herewith;

Each undersigned inventor warrants and covenants that he/she has the full and unencumbered right to sell and assign the interests hereby sold and assigned and that he/she has not executed and will not execute any document or instrument in conflict herewith;

Each undersigned inventor further covenants and agrees that he/she, upon the request and at the expense of the IBM, will execute and deliver any papers, make all rightful oaths, testify in any legal proceeding relating to said inventions and improvements, communicate to the IBM all facts known to the undersigned relating to such inventions and improvements and the history thereof; and perform all other lawful acts deemed necessary or desirable by IBM, and its legal representatives, to secure, maintain, and enforce patent protection for such inventions and improvements and for vesting title to such inventions and improvements in the IBM, and in particular to perfect title to said above-identified certain inventions, and applications including divisions and continuations thereof, and any and all Letters Patent which may be granted therefor or thereon, including reissues, extensions, or counterparts;

Each undersigned inventor hereby grants the IBM and the firm of the power to insert in this Assignment any further identification which may be necessary or desirable for recordation of this Assignment.

This assignment is governed by the substantive laws of the state of New York.

PATENT
DOCKET NO. FIS920030102US1

Executed by Inventor 1 of 4

Signature:

Xiangdong Chen

Date:

7-15-03

Executed by Inventor 2 of 4

Signature:

Georg Wang

Date:

7/15/03

Executed by Inventor 3 of 4

Signature:

Yujun Li

Date:

7-15-03

Executed by Inventor 4 of 4

Signature:

Christine C. Ouyang

Date:

7/16/2003

Q.O.

QIQING

Declaration and Power of Attorney for Patent Application

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

IMPROVED VERTICAL MOSFET WITH DUAL WORK FUNCTION MATERIALS

the specification of which (check one)

☒

is attached hereto.

☐

was filed on _____ as Application Serial No. _____ and was amended on _____.

I hereby state that I have reviewed and understand the contents of the above- identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):

Number

Country

Day/Month/Year

Priority Claimed

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information material to the patentability of this application as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Prior U.S. Applications:

Serial No.	Filing Date	Status
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N/A

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

As a named inventor, I hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith: Joseph P. Abate, Registration No. 30,238; Jay H. Anderson, Registration No. 38,371; Ira D. Blecker, Registration No. 29,894; Steven Capella, Registration No. 33,086; James J. Cioffi, Registration No. 51,564; Harold H. Huberfeld, Registration No. 26,665; Todd M. C. Li, Registration No. 45,554; Anthony N. Magistrale, Registration No. 35,595; Margaret A. Pepper, Registration No. 45,008; H. Daniel Schnurmann, Registration No. 35,791; Tiffany L. Townsend, Registration No. 43,199; Steven J. Soucar, Registration No. 32,440; *MARK F. Chadourjan, Reg. # 30,739*; Eugene I. Shkurko, Registration No. 36,678; William P. Skladony, Registration No. 33,787; all of INTERNATIONAL BUSINESS MACHINES CORPORATION; and John E. Hoel, Registration No. 26,279; Christopher A. Hughes, Registration No. 26,914; Joseph C. Redmond, Jr., Registration No. 18,753; all of MORGAN & FINNEGAN, L.L.P.

Send all correspondence to: H. Daniel Schnurmann, Intellectual Property Law, IBM Corporation, Dept. 18G, Building 300-482, 2070 Route 52, Hopewell Junction, New York 12533.

Direct Telephone Calls to: H Daniel Schnurmann (845) 894-2481

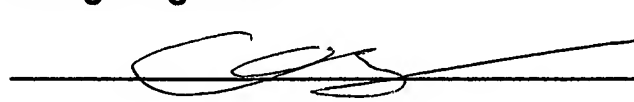


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PATENT TRADEMARK OFFICE

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Signature:

 7/15/03
Date

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(2) Inventor: **Geng Wang**

Signature:

 7/15/03
Date

Residence: 6 South Lockey Woods Road, Apt. A, Beacon, NY 12508

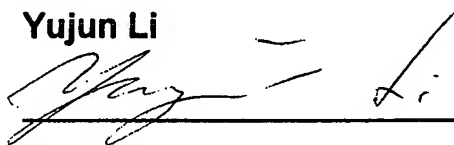
Citizenship: CHINA

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Address: Same as residence.

(3) Inventor: **Yujun Li**

Signature:

 7/15/03
Date

Residence: 510 Maloney Road, Apt. K-14, Poughkeepsie, NY 12603

Citizenship: CHINA

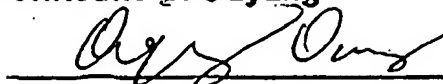
Post Office

Address: Same as residence.

Atty. Docket No. FIS920030102US1

Q.O. Q1Q1NG
(4) Inventor: **Christine C. Ouyang**

Signature:



7/16/2003

Date

Residence: ~~242 Nob Hill Drive, Elmsford, NY 10523~~

Q.O. Citizenship:

CHINA

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Post Office
Address:

Same as residence.